# POST Contract Tracking
# Process Action Team (PAT) Meeting

**April 26, 2001**
**Natomas Park Conference Room 2**
**2:30 – 4:00 pm**

## 1 MINUTES (DECISIONS FROM THE 26 APR 01 MEETING)

| Regulars | Representing | Present |
|---|---|---|
| Mia James | CWS/CMS | Yes |
| Patty Lower | EBT | Yes |
| MaryLou Hernandez | SAWS | Yes |
| Jenna Williams | SFIS | Yes |
| Kathy Saito | SID | Yes |
| Tom Arnez | PM Stds | No |
| Laura Okawa | PM Stds | Yes |

| Meeting Visitors | Representing |
|---|---|
| | |
| | |

Questions related to this PAT should be directed to **Tom @ 263-4293 or email: TArnez@hwdcsaws.cahwnet.gov** (it appears in Outlook as *Arnez, Tom@Process Improvement*). Also, check out **I:\sid\ProjMgt** for PAT related information.

| Contract Tracking PAT | | | |
|---|---|---|---|
| **Mtg** | **PAT Focus** | **Date** | **Status** |
| #1 | Kickoff Meeting (Introductions, terms, objectives) | 12 Apr 01 | ✓ Completed |
| #2 | General Processes, Areas for Automation | 19 Apr 01 | ✓ Completed |
| #3 | Automation Requirements, Features, Reports | 26 Apr 01 | ✓ Completed |
| #4 | Automation Requirements, Features, Reports, Available Existing Tools | 3 May 01 | |
| #5 | Optional Wrap-up Meeting to Discuss Findings Report and Recommendations | 10 May 01 | |

1.1 The meeting started with a review of the previous meeting's minutes. In some cases, SAWS uses the CMAS/MSA schedules to obtain their prime contractor, so the large scale/prime contractor bullet in section 1.4 will be clarified. There was some general questions about who approves CMAS justifications and sole/single source justifications; we'll check with Kay at Procurements.

1.2 The team then continued discussion of the contracting process and tried to finish the Contract Close-out process. The focus of this discussion was to clarify terms, who is responsible for what (Cannery vs. Project), and key considerations in the process.

- **Contract Closeout**
  - If Termination, Discuss with Legal Counsel **PRIOR** to Notice of Termination
    - Discussions should be initiated and handled by the Project Manager (not the Contract Manager) due to its Sensitive and Confidential nature
    - Determine if Liquidated Damages, Letter of Credit, or Performance Bonds will be seized
    - Determine Liability Issues
  - Review the contract database/files to determine if all contractor obligations have been fulfilled (30 days prior to end of contract or when contractor notified of termination)
    - Obtain report from tracking system and provide copy to contractor
    - Verify that the project library contains copies of the correct version of all deliverables; also check for electronic copies of the deliverables
  - Document any Lessons Learned
    - Use caution if the contract is being terminated and/or litigation is a possibility
  - Verify Deliverables, Services, and Milestones are Complete (on last day of contract)

- Complete Project Exit Checklist to ensure order transition from project
  - Verify that all assigned activities, action items and risks are transitioned to other staff
  - Verify that all project documentation and library reference materials have been returned
  - Obtain Cannery/project badges/keys and parking stickers/placards, as appropriate
    - If not received by last invoice, deduct replacement costs from final invoice payment
  - Notify Security so they can de-activate the contractor's access
  - Change door codes, if appropriate
  - Verify voice mail password has been reset
    - Determine if phone should be deactivated to reduce costs
  - Ensure all project equipment has been returned
    - Cell phone, pager, laptop, phone card, DGS card
  - Notify IT staff of contractor's departure and have them de-activate their accounts
    - E-mail, user logon, dialup access
    - Archive their network folders
  - Update phone list, mailboxes, floor plan
  - Work with contractor to clean office
- Perform Contract Evaluation
  - Required if the evaluation is negative
  - Use DGS STD 4 form and submit to DGS within 60 days
    - Refer to instructions at top of form
- Disencumber any Remaining Funds <u>after last invoice is paid</u>
  - Process varies between projects; we'll check with procurements on preference
  - Some call their Cannery contact, some use CSS process
- Closeout and File Remaining Contract Information
  - Determine retention schedule
  - Archive or store off-site, as appropriate

1.3 Next the team discussed areas where automation could help with tracking of information in each of the phase areas.

- Procurement Planning
  - Initial budget information
    - Budget source

        - Approx amount available by Fiscal Year

- Solicitation Planning
    - Initial SOW information
        - SOW ID
        - Required Tasks, Contract Terms, Deliverables, Key Milestones
        - Status of SOW Review (i.e., a running event log)
        - Contract Manager, Functional Manager, State Manager, Invoice Clerk, Project Accountant
- Solicitation
    - Bidders Pool, Respondent Pool
        - Company Name, Address, Phone, Fax
        - Company Representative, Name, Address, Phone, Fax
        - Qualifications, Specialties
        - CMAS/MSA number
        - Submitted proposal/response?
- Source Selection
    - Contract Approval Tracking
        - Fed approval required?, Date Sent, Date Approved, Conditional or Full Approval?, Approval Document Tracking Number
        - CMAS exemption?, Date Approved, Document Tracking Number
        - Single/sole source exemption, Date Approved, Document Tracking Number
    - Contract Info
        - Contract Type (open, CMAS, MSA), CMAS/MSA number
        - CSS number
        - PO number
- Contract Administration
    - Update budget information
        - Total dollar amount, and budget by Fiscal Year
        - Travel dollars, deliverable cost
        - Amount of Federal Funding Participation (% and/or $)
        - Running balance (if not available through accounting system)
    - Deliverable/Milestone tracking

            - Deliverable title/SOW task, description, cost, due date, dependencies, DED/DID cross-reference, federal approval required?, approval date, approver, history/event log
        - Invoice tracking
            - Invoice Number, period of performance, amount, deliverables completed, work order number
            - Received date, approval date, dispute date, reason for dispute
        - Personnel tracking
            - Contractor name, position/function, start and end dates, replacement, billing rate (allow for multiple) – if not in accounting system
        - Amendment tracking
            - Dollar amount of amendments
            - Amendment dates
            - CSS request number
            - Revision number
            - Reason for change
        - Work Order/Change Order tracking
            - Order number, period of performance, amount, activities authorized
    - Contract Closeout
        - Updated Budget info
            - CSS disencumbrance info
        - Contract info
            - Lessons learned (if not in central SID repository)
            - Contract close date
            - DGS report sent?

1.4 Automation features that would be useful.

- Ability to generate standard forms, form letters based on templates (Version 2 item)
- Automated notice when final invoice is received to remind staff to disencumber and close the contract file (logic for this needs to be finalized)
- Automated notice when contract is coming due (100, 60, 30 day and 1 week notices)
- Automated notice when deliverable is coming due (1 week, day of, 1 week late notice)
- Automated notice when invoice approval due (day before, day of, 1 week late notice)
- Weekly(?) report of contract/deliverable activity by contract or for all contracts or by contract/functional manager
- Allow link to document tracking system for deliverables, contract/SOW, invoices, amendments, etc.

- Error check on work/change orders and invoices, if the dollar amount is over a specified threshold (10-15% or set dollar limit)
- Automated notice when federal or control agency approvals are due
- Running balance of contract dollars and notice if amount is over a specified threshold (10-15% or set dollar limit) (Version 2 item? If not done by accounting system)
- Tracking of invoices to TAP budgeted amount (Version 2 item? if not done by accounting system) – is this too much work for the benefit?
- Pre-population option to automatically create the standard deliverables. Standard deliverables include
  - Initial Task Accomplishment Plan (TAP)
  - Monthly Status Reports for life of the contract
  - Final Report (replaces final Monthly Status Report)
- Report summarizing deliverables and their status, due/received date, dollar amount (by contract, period, manager)
- Report summarizing contract dollar activity (by contract, period, manager)
- Report summarizing invoice activity (by contract, period, manager)
- Report summarizing contract amendment, work order/change order activity (by contract, period, manager)

## 2 AGENDA FOR THE NEXT MEETING

2.1 Continue discussing areas where automation could help staff do their job more efficiently. If you have existing reports or forms, please bring or send them to Laura to use in our discussions.

2.2 We'll also start discussing some of the existing tools and see different options that could be used in the near future.